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CHAPTER:		
	CHILD AND FAMILY SERVICES AGENCY  Approved by: _____ Signature of Agency Director Date: _____	PROFESSIONAL STANDARDS
EFFECTIVE DATE:	LATEST REVISION: October 31, 2012	REVIEW BY LEGAL COUNSEL: October 10, 2012

I. AUTHORITY	The Director of the Child and Family Services Agency (CFSA or Agency) adopts this policy to be consistent with the Agency's mission, and applicable federal and District of Columbia laws, rules and regulations. This policy supersedes any other prior-dated policies of the same title and subject matter, including related issuances and business processes. DC Official Code, Title 2 Chapter 17, et al. Public Records Management, The Health Insurance Portability and Accountability Act of 1996 (Pub. L. No. 104-191, 110 Stat. 1936 (1996)) and its implementing regulations (45 CFR. Parts 160 and 164) (HIPAA). <i>This policy supersedes the Client Records Management Policy dated May 5 2009.</i>
II. APPLICABILITY	This policy applies to all Child and Family Services Agency (CFSA) employees, including contracted employees and volunteers who may be responsible for filing or handling Agency case records.
III. RATIONALE	<p>As a District Government agency, CFSA maintains extensive numbers of current and inactive case and investigative records which must be securely stored in accordance with local and federal regulations. Records shall be readily accessible to authorized personnel for the successful flow of the Agency's operations. The CFSA Central Filing Unit (CFU) is established to assist the Agency with the development of secure, efficient, and effective archival management of all CFSA case and investigative records.</p> <p>The primary purpose of this policy is to ensure the efficient management, confidentiality and secured storage of all client records and information, including substantiated, unfounded and inconclusive investigative records. For purposes of this policy, secured storage is defined as a specifically designated office area with locked file cabinets and/or areas with doors or restricted entry that prohibit intrusion by unauthorized personnel.</p>
VI. POLICY	This policy is set forth to promote both security and confidentiality in accordance with established rules and regulations set by the District of Columbia Official Code titled Public Records Management. Record analysis and consultative services for the Agency shall be provided by the CFSA's CFU. Each program or unit shall be responsible for all of the active and inactive case records stored by their respective programs. The Child Protective Services (CPS) Unit shall be responsible for all investigative records stored in their respective area.

V. CONTENTS	A. General Provision B. Organization of Case and Investigative Records C. Record Management D. Record Retention E. Transferring Records to and from the Central Filing Unit F. Transferring Closed Records G. Requests for Access to Records H. Access to Break Seal Records I. Process for Re-Sealing Break Seal Records J. Management of Faxed and Printed Information K. Removing Case Records from CFSA Premises L. Sanctions for the Intentional Breach of Confidentiality M. Reporting Lost Case records N. Damaged, Disposal, and Destruction of Case and Investigative Records
VI. ATTACHMENTS	A. Child and Family Case Record Keeping Guidelines B. Centralized Filing Unit Case Record Request Form C. Reference Request Form D. Records Transmittal and Receipt Form E. Record Retention Schedule F. Special Records Request Form
	<p>Procedure A: General Provision</p> <p>DC Law 6-19 "District of Columbia Public Records Management Act of 1985" established that any record created or received by the District of Columbia in the course of official business is the property of the District of Columbia. By law, such records shall not be destroyed, sold, transferred, or disposed of in any manner without consulting the Agency.</p> <p>Record analysis and consultative services for the Agency shall be provided by the CFSA the Central Filing Unit (CFU). Each program or unit will be responsible for all of the active and in-active case records stored by their respective programs. The Child Protective Services Administration (CPSA) shall be responsible for all investigative records stored in their respective area. CFU in collaboration with CFSA program administrators shall protect the legal rights of the Agency, its providers, and recipients of services by adhering to the following guidelines:</p> <ol style="list-style-type: none"> 1. Every committed child and every investigation shall have an individual case record opened by the assigned social worker or investigator. 2. Within 1 business day of opening (or re-opening) a case or investigation, on-site CFSA social or investigative workers shall register the record in person with CFU. All off-site workers shall register their records within 3 business days. 3. All registered case and investigative records shall be processed by the CFU according to Agency standards (i.e., labeling the record with the client's name and the FACES case number): <ol style="list-style-type: none"> a. After labeling a record, CFU staff shall log the record into the FACES Records Management Module (RMM).

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	<ol style="list-style-type: none"> b. If the worker is registering an additional volume due to an overflow of case record documentation, CFU staff shall log the additional volume accordingly (see <i>Procedure B</i>). c. In the event that a closed case is re-opened, the CFU staff shall check the FACES RMM for prior registration data and log the new record accordingly. <p>4. All CFSA and private agency workers are responsible for individual case records in their direct possession. If a case record is lost or destroyed, a worker must follow the guidelines specified in <i>Procedure M</i>. The CFU does not make copies of records.</p>
	<p>Procedure B: Organization of Case and Investigative Records</p> <p>Information in case and investigative records shall be entered into FACES (as appropriate) in a timely fashion and with attention to accuracy. All hard copies of case and investigative records shall be organized according to the following Agency standards:</p> <ol style="list-style-type: none"> 1. Records shall be bound in a standard classification folder. Records in manila folders shall be returned to the social worker for proper organization. 2. All documents shall be signed when appropriate and properly attached to the classification folder. Records with loose documents shall be returned to the assigned social worker for proper binding. 3. If a case record overflows with documentation, a second (and third, etc.) volume must be created. Overflowing records shall not be accepted by CFU. Additional volumes shall be created in standard classification folders. 4. All documentation pertaining to a case or investigative report shall be organized according to the Agency guidelines, including but not limited to identifying information such as a birth certificate or social security card, medical evaluations, legal documentation (custody orders, court orders, etc.), administrative reviews, progress reports, etc. (see <i>Attachment A</i>). 5. All CFSA and private agency workers are mandated to adhere to District and federal laws regarding confidentiality. For more information, see the CFSA policy on Confidentiality.
	<p>Procedure C: Record Management</p> <p>Proper management of case and investigative records are essential for the Agency to maintain best practice standards.</p> <ol style="list-style-type: none"> 1. The number of active records managed at work stations shall not exceed 5 cases at a time except as stipulated by the following guidelines: <ol style="list-style-type: none"> a. On-site CFSA workers (or designees) shall transport additional cases to the CFU for storage. <ul style="list-style-type: none"> • Case records transported to the CFU shall be documented in the sign-in book or accompanied by a charge-in sheet that shall be signed by the CFU staff once the case record is received.

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	<ul style="list-style-type: none"> b. Off-site workers shall maintain their entire caseload at their work site, limiting the number of active cases at the work station to 5 and securing additional records in a locked cabinet or nearby secured area with restricted entry. c. All social workers shall ensure that the contents of all records in their possession are protected from theft, loss, damage, and/or unauthorized use or disclosure. Food and beverages shall be restricted from work station areas when records are open and in use in order to avoid possible spills or damage to records. Lost or damaged records shall be reported to the assigned supervisor and the CFU immediately. d. Social workers shall ensure that supervisors, program managers, and/or other appropriate management staff have legitimate access to the secured storage of records kept at a work station. e. In the event that an employee resigns, retires, or transfers to another program and any cases pertaining to that individual's work load are needed for review of accurate and current documentation, he or she may request to have more than the required number of cases at his or her work station or within the work area otherwise, all closed records shall be immediately submitted to the supervisor prior to the employee's departure. f. The supervisor shall check the record for appropriate documentation and ensure that the record is closed in FACES. All volumes shall be accounted for. g. If all documentation is in order and the record is closed in FACES, the supervisor shall make arrangements for the closed record to be transferred to the CFU. <p><i>Note: No closed records shall be retained at a work station.</i></p> <p>2. The CFU shall secure adoption case records in a separate location from case and investigative records.</p>
	<p>Procedure D: Record Retention</p> <ul style="list-style-type: none"> 1. Prior to being archived, closed case and investigative records shall be retained by the CFU for a period not less than 5 years after closure. 2. Any social worker who needs to access a record that is currently retained onsite shall submit a Case Record Request Form to CFU (see <i>Attachment B</i>). 3. In the event that CFSA's CFU would like to retain records beyond the stated 5 year retention limit, the Agency Director shall request permission in writing from the DC Public Records Administrator.

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Procedure E: Transferring Records to and From the Central Filing Unit

1. Any transfer of an active or closed record from one entity or individual to another shall go through the CFU, including transfers from within CFSA programs, transfers between CFSA programs and private agencies, and archival transfers to and from the DC Records Center (DCRC).
2. No record shall be transferred without all necessary documents, including additional volumes. If missing documents or additional volumes have not been successfully located, then it shall be recorded in FACES by CFU staff that all reasonable efforts have been made and exhausted.
3. All case records received by the CFU for transfer or retention shall be entered without exception into a sign-in book and, if there are batches of records, accompanied by a charge-in sheet that shall be signed and recorded by the CFU staff once received.
4. Complete case records, including additional volumes, shall be transported by the transferring unit to the CFU. The CFU staff can request to see CFSA and/or private agency identification to identify the transporting person. In the event that a case record includes large volumes of records, arrangements can be made with the CFU to pick up the records from the transferring unit.
5. The CFU staff shall document the transfer of case record(s) in the FACES RMM. After receiving notification from the transferring supervisor that the record transfer has been documented in FACES, the CFU shall notify the intended program area or private agency via telephone and email that the records are ready for pick-up from the CFU.
6. Staff picking up transferred records shall sign a charge-out sheet prior to record release. The CFU staff shall sign-out the case record in the FACES RMM to the CFSA program area or private agency staff receiving the record.
7. Transfers within CFSA units and/or between CFSA units and private agencies shall only take place after an approved recommendation following a Child and Family Case Record Transfer Staffing (CFCRTS) and/or a Family Team Meeting (FTM).
8. An assigned supervisor (or program manager) shall review the transfer request and record for completeness prior to final approval.
 - a. If the transferring record is incomplete, the supervisor shall notify the assigned case worker and request all missing documentation and/or volumes to be attached to the record.
 - b. If the transferring record is complete and has been supported by the CFCRTS and/or FTM, a supervisor shall approve the case transfer to the intended program or private agency. The worker shall then transport the record to the CFU to be logged-in as a transfer.

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	<ul style="list-style-type: none"> c. The approving supervisor shall document the transfer in FACES within 1 business day of the physical transfer of the record to CFU, and also notify the CFU via email. d. All transfers shall be assigned to a new worker and supervisor within 5 business days from the date of receipt.
	<p>Procedure F: Transferring Closed Records</p> <ol style="list-style-type: none"> 1. The transfer of closed records by the assigned social worker from the work station to the CFU shall be approved after review by a supervisor. Closed records shall not be kept at a workstation. 2. Under no circumstances shall CFSA or private agency employees send closed records directly to the DC Records Center. 3. Once a record is closed, the assigned social worker shall forward the record with additional volumes (if applicable) to his or her supervisor for review of proper documentation and closure in FACES. No record shall leave the program or unit for closure without first being approved by the assigned supervisor or program manager. 4. The CFU staff shall receive closed records in accordance with step 3 outlined in these procedures, comparing the number of volumes charged-in for closure with the number of volumes previously documented. If there is a discrepancy, CFU staff shall take appropriate steps to ensure that all volumes are recovered. If the discrepancy cannot be resolved, it shall be documented in FACES that all efforts have been made and exhausted. 5. The CFU staff shall mark the "Check In" box in the FACES RMM to "Closed." 6. The transfer of closed records from the CFU to the DCRC shall occur only after the completion of the 5 year retention schedule as established in this policy. 7. The CFU staff shall prepare CFSA records for transfer to the DCRC by creating a catalogue sheet listing each record (and volumes, if applicable) in alphabetical order by record type and year of closure. The catalogue sheet shall be reviewed by the CFU supervisor. 8. Records shall be boxed and boxes labeled with a permanent black marker. In addition: <ol style="list-style-type: none"> a. Boxes shall be annotated on one side in the upper left corner with an accession number that includes the record group, the current fiscal year, and a one-time unique number assigned to the case records being transferred (i.e., series # - fiscal year – unique # for that particular accession, i.e., 351-08-5683) b. On the same side, boxes shall be annotated in the upper right corner with a number for each box and the total number of boxes in the particular accession series (i.e., 1 of 25, 2 of 25, etc.)

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	<p>c. All annotated information labeled on the boxes shall be documented on a Records Transmittal and Receipt Form (<i>see Attachment D</i>) and include the following information:</p> <ul style="list-style-type: none"> i. Signature of the CFU supervisor or designee preparing the boxes ii. CFSA name and agency code iii. Name of the CFSA administration transferring the records to the DCRC iv. Records series v. Inclusive date of records vi. Disposal date and authority vii. Address of the DCRC <p>9. Three signed originals of the form shall be delivered to the DCRC for review and approval.</p> <p>10. The DC Records Manager or the CFU supervisor shall ensure safe and timely transport of all CFSA records to the DCRC.</p>
	<p>Procedure G: Requests for Access to Records</p> <p>Access to active or closed case, investigative, and/or adoption records stored in the CFU or archived in the DCRC shall be restricted to requests from authorized CFSA or private agency personnel. The following procedure outlines the necessary steps for approved individuals to access records stored in the CFU and/or in the DC DCRC.</p> <p>1. Requests for access to records by authorized CFSA or private agency personnel shall come directly through the CFU and be accompanied by a Case Record Request Form (<i>see Attachment B</i>), obtainable from the CFU.</p> <ul style="list-style-type: none"> a. CFU staff shall review the Case Record Request Form for accuracy and consistency with FACES documentation. Incomplete forms shall be returned. No record shall be released without a properly completed form. Request Forms shall be processed twice daily at 10:30 am and 3:00 pm. b. Access to records shall ordinarily be permitted unless records are fragile and would be damaged by use in which case, copies shall be provided. c. Requests for records that need to be made available for an audit or review shall be submitted 2 weeks prior to the date of the review or audit. The requester shall include an alphabetical listing of record types and dates to be submitted to the CFU. For records held by individual administrations or work stations, the CFU shall inform the assigned supervisor and he/she shall be responsible for providing those records for the audit or review. d. CFU staff shall contact the requester via telephone and email within 1 business day of the request and inform them of the status of their request. CFU staff can request identification from a requester prior to releasing a record.

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	<ul style="list-style-type: none"> e. Records that are not picked up within 3 business days shall be returned to “stored” status. f. When picking up a record, the requester shall sign the appropriate line on the Case Record Request Form, acknowledging receipt of the record. No employee shall sign for another employee, and no employee shall sign for a record that is not received in hand. g. CFU staff shall enter the record as “charged-out” in the appropriate FACES RMM. h. Returned records shall be signed-in with the CFU and CFU staff shall enter the information in the FACES RMM. i. Emergency requests for closed case records (i.e., child fatalities or emergency hearings) shall be serviced immediately. j. In the event that the requested record is not located, the CFU staff shall perform a thorough and exhaustive search, including storage and archival areas. <ul style="list-style-type: none"> i. CFU staff shall contact the last known social worker and/or requester in an attempt to locate the missing record. ii. If the requested record is not located within 30 calendar days, CFU staff shall inform the last known supervisor, who will be responsible for ensuring that a new record is created. iii. CFU staff shall add the missing record to a List of Missing Records (LMR) to be posted in the CFU area and circulated monthly via email to all CFSA and private agency staff. The LMR posting shall request immediate notification when any of the records are located. iv. If the missing record is located, it shall be consolidated with the newly created record and logged accordingly by CFU staff. CFU shall then update the LMR and send notifications to staff. <p>2. A CFSA or private agency worker shall obtain written permission from an assigned supervisor prior to accessing another worker’s active record(s). The assigned worker shall be informed of the request and the written permission shall be attached to the Case Record Request Form.</p> <p>3. All requesters who have been granted access to records that are not on their case load must return the records to the CFU within 5 business days. If an extension is required, the assigned supervisor shall request the extension with justification in writing. CFU staff shall enter the information in the FACES RMM accordingly.</p> <p>4. All external requests to access information in an investigative or case record shall be forwarded to the CFSA Office of the General Counsel (OGC). All requests must be submitted in writing and be accompanied by proper identification.</p> <ul style="list-style-type: none"> a. If the request is approved by the OGC, the client can either view or request copies of documents in the record at a location determined by the OGC. The client may also authorize another individual that is 18 years old or older to receive a copy of their confidential record. The client must sign an Authorization of Release Form and provide proper identification before any records can be released to a third party.
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	<ul style="list-style-type: none"> b. OGC shall process all external agency requests for information, including those from other jurisdictions. Upon receipt of a written record request, OGC shall determine the validity of the record request and if the record request is deemed to be valid. If the record request is deemed to be valid, OGC shall instruct CFU to retrieve information from FACES or the case record. When the record has been located by CFU, CFU shall forward the case record to OGC. Unrelated confidential information shall be redacted from the record by OGC before being provided to the requestor. c. All written requests shall be accompanied by a copy of a state-issued identification for submission to the OGC. The request must contain all the information necessary to perform a successful search for the closed record, including the child's name while in care, date of birth (DOB), social security number (if known), birth parents' names, birth parents' DOBs, Provider/Foster Parents/Group Home name or name of agency (if Private Provider) and the year the case record was closed. d. In such instances where a request has been submitted to the CFU supervisor, the CFU supervisor shall forward the request to the OGC for consultative and supervisory assistance to prevent breach of confidentiality, loss of documents, or removal of information from the respective record. e. Upon OGC's approval of the written request, the CFU supervisor shall forward the case record to the OGC which shall then make arrangements for supervision and viewing of the case record. <ul style="list-style-type: none"> i. Case records shall be viewed within a location designated by the OGC. No case record shall be removed from the designated location without prior written permission from the OGC or the Director of CFSA. ii. A legal representative from the OGC shall provide supervisory assistance to prevent breach of confidentiality, loss of documents, and or removal of information from the respective record. <p>5. The CFU will restrict access to closed finalized adoption records. A request for access to a closed adoption record shall be submitted in writing to the OGC.</p> <p>6. A closed adoption record shall only be viewed as a result of a written court order. Upon receipt of a court order granting access to a closed adoption record, the CFU supervisor shall contact the OGC to arrange for the record to be viewed within a location determined by the OGC.</p> <ul style="list-style-type: none"> a. No record shall be removed from the designated location without prior written permission with justification from the OGC or the Director of the Agency. b. A legal representative from the OGC shall provide supervisory assistance to prevent breach of confidentiality, loss of documentation, and/or removal of information.
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	<p>c. Restricted access to closed adoption records does not apply to court orders for “break seal” searches. CFU staff shall provide closed adoption case records to any social worker with an official “break seal” court order (for additional information see Procedure H).</p> <p>7. The CFU is the sole authorized agent of CFSA for directly requesting access to records from the DCRC. Turnaround time for retrieving records from the DCRC is approximately 72 hours.</p> <p>a. Upon receiving a Case Record Request Form (see Attachment B) for a record that is archived at the DCRC, a designated CFU staff member shall secure a Records Transmittal and Receipt Form (see Attachment D) directly from DCRC to attach and forward along with a copy of a DCRC Reference Request Form (see Attachment C).</p> <p>i. The Records Transmittal and Receipt Form shall be signed and dated, and reviewed by a CFU supervisor prior to submission. The form shall be completed in full, including the record group number, accession number, box number, and location number.</p> <p>ii. Records shall be requested by box or by individual record. CFU staff shall clearly designate the “Nature of Service” item on the Records Transmittal and Receipt Form.</p> <p>b. When informed by DCRC that a record is ready for pick-up, a designated CFU staff shall pick-up the record(s) from DCRC and deliver them directly to the CFSA CFU.</p> <p>c. CFU staff shall enter the archived record into the FACES RMM, and change the Location Type from “archived” to “closed”.</p> <p>d. CFU staff shall contact the requesting individual or entity via telephone and email to schedule a time for picking up the record(s) and for the requester to return the records to CFU.</p> <p>e. When records are ready to be returned to the DCRC, the designated CFU staff shall attach the white copy of the Reference Request Form to the record (or box) and contact the DCRC for pick-up (if appropriate) or CFU shall return the record in person. CFU staff shall change the Location Type in the FACES RMM from “closed” to “archived”.</p>
	<p>Procedure H: Access to Break Seal Records</p> <p>CFSA has implemented the following protocols for locating records for cases from Orders to Break Seal:</p> <p>1. Within 5 business days of receiving the order to Break Seal, a Special Records Request Form shall be submit directly to the Business Services Administration (BSA) of the Agency to obtain archived files of the adoptee (see <i>Attachment F</i>).</p> <p>2. CFU shall provide the requesting social worker with all information and files obtained in response to the Break Seal request.</p> <p>3. If the CFU is unable to obtain sufficient information from its file or if additional information is required to respond to the order to Break Seal, CFSA's ASD/BSU will file a written request with the Court to obtain records maintained in the Adoptions Clerk's office at the Family Court.</p>

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	<ol style="list-style-type: none"> 4. If the CFU is unable to obtain sufficient information from its file or if additional information is required to respond to the order to Break Seal, CFSA's ASD/BSU will file a written request with the Court to obtain records maintained in the Adoptions Clerk's office at the Family Court. 5. The written request shall comply with all of the following requirements: <ol style="list-style-type: none"> a. Be signed by both the managing supervisor of records and the administrator of the BSA b. Describe and demonstrate with relevant attachments, including the master list of relevant catalog sheets, the extent of the search for CFSA's records c. Be filed no later than 10 business days before the next scheduled hearing and report is due
	<p>Procedure I: Process for Re-Sealing Break Seal Records</p> <ol style="list-style-type: none"> 1. After the sealed record has been received by CFSA, the following steps are required before the record may be resealed: <ol style="list-style-type: none"> a. The requesting social worker shall review the documents contained inside the sealed envelope b. The requesting social worker shall submit a report to the Court regarding the findings c. The requesting social worker shall make a recommendation to the Court via report requesting that the record that was opened by the Break Seal order be resealed d. The requesting social worker shall retain the Break Seal record until an order from the Court has been issued directing the Agency to reseal the record e. Once the reseal order has been received, the requesting social worker shall return all the original documentation, as well as any new documentation created in response to the Break Seal order, into the original envelope, and then the requesting social worker shall place the original envelope into a new envelope and seal it f. The requesting social worker shall make a notation on the new envelope that the record has been resealed by the Court and shall initial and date the envelope g. The original adoption case number shall be written in the top right hand corner of the envelope 2. The resealed envelope shall be returned to CFU by the social worker. The CFU shall return the resealed envelope to the archives to be stored in its original location. 3. The CFU shall ensure that the record has been appropriately resealed including all of the following information: <ol style="list-style-type: none"> a. The resealed date b. The initials of the person at CFSA who resealed the Break Seal record c. The adoption case number in the top right hand corner of the resealed envelope

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	<p>Procedure J: Management of Faxed and Printed Information</p> <p>As established by local and federal confidentiality laws, faxing of private information is permitted if reasonable and appropriate safeguards are in place. The following procedures are required for faxing loose documents and printing information:</p> <ol style="list-style-type: none"> 1. The sender shall confirm that the outgoing fax number is correct prior to faxing confidential information. 2. The sender shall ensure that the recipient of the fax is available to receive the faxed documents. 3. The sender shall ensure that protected information is not left on a fax machine. 4. All faxed information shall have a cover sheet that includes a privacy disclaimer (e.g., "This communication, along with any attachments, is protected by federal and state law governing electronic communications and may contain confidential and legally privileged information. If you are not the intended recipient of this fax, you are hereby notified that any review, dissemination, distribution, uses or copying of this fax is strictly prohibited. If you have received this fax in error, please notify the sender immediately and shred all documents. Thank you."). 5. Whenever possible, CFSA workers shall ensure that incoming faxes containing protected information are immediately secured and protected from unauthorized access. 6. Each administration shall be responsible for having all copied and printed confidential information removed from copiers, printers, and fax machines and forwarded to the intended individual.
	<p>Procedure K: Removing Case Records from CFSA Premises</p> <p>CFSA is committed to maintaining confidential and protected client and family information regardless of the location. CFSA employees shall not remove case records from the premises except upon the following circumstances:</p> <ol style="list-style-type: none"> 1. A client's record shall be removed from the premises only upon approval by an administrator to complete an official CFSA function pertaining to the client or client's family 2. A case record shall only be removed from CFSA's premises when the private and confidential information of an individual or their family is protected and confidentiality is preserved at all times from unauthorized disclosure

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	<p>Procedure L: Sanctions for the Intentional Breach of Confidentiality</p> <ol style="list-style-type: none"> 1. District and federal law establishes the confidentiality of all information generated or maintained by CFSA. All records identifying client, family members, other persons, or individuals affiliated with a client's case shall be confidential. 2. Pursuant to D.C. Code Section 4-1303.07 "Whoever willfully discloses, receives, makes use of or knowingly permits the use of confidential information concerning a child or individual in violation of this subchapter shall be guilty of a misdemeanor and upon conviction thereof shall be fined not more than \$1000.00. 3. There are also both civil and criminal imposed for the intentional breach of protected health information (includes medical, dental, and mental health information). <i>See HIPAA Security Policy-Sanctions.</i>
	<p>Procedure M: Reporting Lost Records</p> <p>When a case record is lost, the following guidelines are required:</p> <ol style="list-style-type: none"> 1. In the event a case record is lost, the CFSA case-carrying social worker shall perform a thorough and exhaustive search in all case filing unit areas, including off premises locations. If the social worker is not currently assigned the record or case in FACES, the CFSA case-carrying social worker shall contact the last known requester. 2. All case-carrying social workers shall immediately report a lost case record to their assigned supervisor (or designee) and CFU. CFU shall add the case record to the List of Missing Records (LMR). 3. The case-carrying social worker shall complete an unusual incident report and submit the report to his or her immediate supervisor (or designee) for review. 4. Upon satisfactory review, the assigned supervisor shall sign the incident report and forward the original report to CFSA's Office of the Risk Manager. 5. Copies of the report shall also be forwarded to the CFSA privacy officer, the CFSA director, and CFU. A copy shall also be kept on file at the assigned supervisor's desk. 6. If the case record is not found within 14 calendar days after a thorough search, the case-carrying social worker shall follow up with CFU and request that the lost record be added to the LMR and a new case record shall be created by the case-carrying social worker to whom the case record was assigned and or charged out.

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	<p>7. The case-carrying social worker shall notify CFU by telephone and electronically if and when the original case record has been located. If a lost record is turned into CFU by someone other than the assigned social worker, the CFU staff shall notify the assigned social worker and the assigned supervisor. The original case record shall be consolidated with the newly-created case record by the assigned social worker.</p>
	<p>Procedure N: Damaged, Disposal, and Destruction of Case and Investigative Records</p> <p>The CFU shall periodically perform an internal audit of stored records to determine which, if any, are appropriate for disposal and/or destruction. CFSA's process for approving the disposal and destruction of records shall be derived from the District's Records Comprehensive Retention Schedule.</p> <ol style="list-style-type: none"> 1. Prior to disposal or destruction of records, the following steps shall be taken: <ol style="list-style-type: none"> a. A list of records to be disposed or destroyed shall be created by an assigned CFU staff member. <ol style="list-style-type: none"> i. The disposal list shall include only records with an expired retention period of five (5) years and/or records that are deemed to have no historical or other specific value. The list shall state each record's title, content, series number, date, number of volumes, and justification for disposition. ii. The disposal list shall be submitted by the CFU supervisor to the Agency director for review and approval. iii. Once approved for disposition by the Agency director, the disposal list shall be forwarded by the CFU supervisor to the District of Columbia Archivist with a cover letter justifying the request for authorization of disposal. b. CFU staff shall follow the standards and procedures set forth in the DC Records Management Handbook entitled, <i>The Disposition of Federal Records</i>, a copy of which shall be retained in the CFU offices. 2. In the event that any actual, impending, or threatened unlawful destruction, defacement, or alteration of records in the custody of CFSA shall come to the attention of any staff member, he/she shall immediately inform his/her supervisor, program manager, and/or administrator. 3. Any manager informed of the above-mentioned risks to the preservation of an official CFSA record shall immediately notify the director of the Agency. The Agency director shall notify the administrator of DC Public Records and cooperatively determine and/or initiate an appropriate administrative action.

POLICY NUMBER/TITLE	CHAPTER NUMBER/TITLE	PAGE NUMBER
Client Records Management		Page 14 of 14

CHILD AND FAMILY CASE RECORD KEEPING GUIDELINES

[FR – Meaning Family Record and CR Meaning Case Record]

SECTION A **[Arrange in Ascending Order]**

Identifying, Judicial and Legal Information

Identifying Information

Birth Certificate for Child(ren)	FR	CR
Application for Birth Certificate	FR	CR
Social Security Number for Child(ren)	FR	CR
Application for Social Security	CR	
Death Certificate	FR	CR
Application for Certified Copy of Death Certificate (UNIV – 510)	FR	CR
Child Fatality Report	FR	CR

Legal Documents

Complaint Report Form	FR	CR
Initial Petition (With ACC signature)	FR	CR
Affidavit of Efforts	FR	CR
Relinquishment of Parental Rights Form (LSA-179)	FR	CR
Acknowledgement of Paternity Form LSA-173)	FR	CR
Abscond Summary Report (PPA-ABS-621)	FR	CR
Custody Order Request Form (PPA-ABS-509)	FR	CR
Non-Compliance with Custody Order Procedures (PPA-ABS-S18)	FR	CR
Termination of Parental Rights Referral Form	FR	CR
Notice of Petition for Adoption to Non Custodial Biological Mother (LSA-181)	FR	CR
Notice of Petition for Adoption to Non Custodial Putative Father (LSA-172)	FR	CR
Notice to Non-Custodial Biological Father Of and Open Abuse or Neglect Case (LSA-182)	FR	CR
Notice to Non-Custodial Biological Mother Of and Open Abuse or Neglect Case (LSA-184)	FR	CR

Notice to the Named (Putative) Non Custodial Biological Father (LSA-183)	FR	CR
Notice to the Named (Putative) Non Custodial Biological Mother (LSA-186)	FR	CR
Voluntary Placement Agreement (PPA-FC-431)	FR	CR

Court Reports

Court Social Services Reports	FR	CR
Status Reports	FR	CR
Pre-disposition Report	FR	CR
Review of Disposition Reports	FR	CR
Interim Reports (CRT-803)	FR	CR
Review Reports (CRT-801)	FR	CR
Ex-Parte Reports	FR	CR
Permanency Hearing Report (CRT-802)	FR	CR
Guardian ad litem Report		CR
CASA Reports	FR	CR

Court Orders/Judicial Determinations

Pre-Trial Court Order	FR	CR
Neglect Abuse Disposition Order Stipulations	FR	CR
Intermediate Review of Disposition/ Extension of Jurisdiction Order	FR	CR
Permanency Planning Hearing Order	FR	CR
Custody Order	FR	CR
Findings of Fact	FR	CR
Motions	FR	CR

Court Related Adoptions Documents

Termination of Parental Rights Order	FR	CR
Consent of Natural Parent To Adoption (CRT-SVCS-491)	FR	CR
Order of Reference		CR
Final Decree of Adoption		CR
Petition for Adoption		CR
Adoption Report and Recommendations Part One		CR
Adoption Report and Recommendations Part Two		CR
Supplemental Adoption Report		CR

Request for Extension of Time to File (CRT-805)		CR
Review after Termination of Parental Rights Order		CR

Section B
[Arrange in Ascending Order]
Case History

Family Face Sheet (DHS-878)	FR	
Child's Face Sheet (DHS-876)		CR
Report of Alleged Neglect Form (DHS-1530)	FR	CR
Initial Investigation of Neglect/Abuse Form (DHS-1535)	FR	CR
Juvenile Report Form (PD-379)	FR	CR
Hotline Screening Tool	FR	CR
Intake Risk Assessment	FR	CR
Summary of Intake Investigation	FR	CR
Court Social Services Social Investigation	FR	CR
Transfer Summary (UNIV-425)	FR	CR
Closing Summary	FR	CR
Notice of Case Action (DHS-701)	FR	CR
Record of Case Action (DHS-1052)	FR	CR
Notice of Case Closure (UNIV-531)	FR	CR
Notice of Case Transfer (UNIV-533)	FR	CR
Contact Report (UNIV-630)	FR	CR
Verification Case Activity (IFSA-INT-527)	FR	CR

Section C
[Arrange in Chronological Order]
Case Planning and Administrative Case Review Activity

Initial Family Case Plan	FR	CR
Initial Case Plan for Child in Care	FR	CR
FACES Case Plan (PPA-FC-545)	FR	CR
Family Case Plan Update	FR	CR
Child in Care Case Plan Update	FR	CR
FACES Family Assessment (PPA-FC-546)	FR	CR
Safety Plan Reassessment	FR	CR
Risk Assessment	FR	CR
Strengths/Needs Assessment/Reassessment	FR	CR
Risk Assessment	FR	CR

Individual Treatment Plan (ITP) (For children placed in therapeutic and residential treatment centers)	FR	CR
Signed Service Agreements	FR	CR
FACES Service Agreement (PPA-FC-547)	FR	CR
Administrative Review Summary	FR	CR
FACES Summary of Administrative Review (ADM-REV-8)	FR	CR
Administrative Review Notification Letter	FR	CR
FACES Request to Attend an Administrative Review (ADM-REV-9)	FR	CR
Notice of Change in Permanency Goal (PPA-ADP-528)	FR	CR
Notice of Adoption Plan	FR	CR
Diligent Search Referral	FR	CR
Adoption Subsidy Agreement		CR
Notice of Intent to Adopt		CR
Referral for Adoption Recruitment		CR
Referral for Child Specific Adoption Recruitment		CR
Permanency Staffing Forms	FR	CR
Long-Term Foster Care Agreement	FR	CR

Section D
[Arrange in Chronological Order]
Evaluations and Progress Reports

Kinship Home Study Evaluations	FR	CR
Psychiatric Evaluations	FR	CR
Psychological Evaluations	FR	CR
Developmental Evaluations	FR	CR
Forensic Screenings/Evaluations	FR	CR
Social Histories	FR	CR
Clinical/Therapeutic Summaries	FR	CR
Progress Report Service	FR	CR
Collaborative Progress Report	FR	CR
Progress Reports from Placement Providers	FR	CR
Medical Screenings	FR	CR
DC KIDS Reports	FR	CR
Birth Histories	FR	CR
Hospital Records		

	FR	CR
Immunization Records	FR	CR
Medical Evaluations/Examinations/Treatments	FR	CR
Dental Evaluations/Examinations/Treatments	FR	CR
Vision Evaluations/Examinations/Treatments	FR	CR
Childhood Intervention Evaluations and Progress Reports	FR	CR
Individual Habitation Plans (IHP)	FR	CR
Individual Education Plans (IEP)	FR	CR
Individual Treatment Plans (ITP) (As related to out-patient therapy)	FR	CR
Educational Progress Reports	FR	CR
Educational Attendance Reports	FR	CR
Educational Performance Reports (Advisory Grades/Deficiency Notices)	FR	CR
Vocational Evaluations/Reports	FR	CR
Employment Records	FR	CR

Section E
[Arrange in Chronological Order]
Correspondence Authorizations / Consents

Inter/Intra-Agency Correspondence	FR	CR
Information and Exchange Form (DHS-886)	FR	CR
Contracts	FR	CR
Purchase of Service Agreements (PSA)	FR	CR
Unusual Incident Report (UNIV-620)	FR	CR
Notification of Change in Placement	FR	CR
Referrals for Community Based/Collaborative Services	FR	CR
Referrals for Professional Evaluations/Services	FR	CR
FACES Residential Placement Unit Admission/Demographic Information (RDA-PLP-321)	FR	CR
Keys for Life Referral Form (IFSA-CSA-354) Tuition	FR	CR
Authorizations for Private/Out of Jurisdiction Schools	FR	CR
Request for Approval for Overnight Trips (UNIV-409)	FR	CR
Provider Payment Authorization Forms/Approvals	FR	CR
Clothing Allowance Forms	FR	CR
Special Board and Care Payment Authorizations	FR	CR

Authorization to Provide Medical Treatment, Surgery
 And/or Anesthesia
 ICPC 100A (PPA-ICPC-263)
 ICPC 100 B (PPA-ICPC-264)

FR

CR

Section F

[Arrange in Chronological Order] Data and Entitlement Forms

Request for Placement Forms (DHS-1013) PL	FR	CR
RO Placement Forms	FR	CR
Declaration for Medical Form (DHS-304)	FR	CR
Citizen/Alien Declaration	FR	CR
WTS Forms	FR	CR
Focus Forms	FR	CR
Supervisor's Case Record Review Sheet	FR	CR
Quality Assurance Transmittals/Feedback Forms	FR	CR
Supervisory Review System (SRS) Questionnaires	FR	CR
Case Review Summary Form	FR	CR
ACEDS Reports	FR	CR
Police Clearances	FR	CR
Child Abuse and Neglect Clearances	FR	CR
FBI Clearances	FR	CR
IV-E Summary (PPA-FC-700)	FR	CR
Title IV-E Eligibility Forms	FR	CR
Title IV-E Re-determination Forms	FR	CR
Title IV-E Reimbursable Summary	FR	CR
Medical Assistance Data Entry Forms	FR	CR
Medicaid Location Code Change Sheet	FR	CR
Medical Termination Forms	FR	CR

GOVERNMENT OF THE DISTRICT OF COLUMBIA
Child and Family Services Agency



CENTRALIZED FILING UNIT
Case Record Request Form

COMPLETED BY CFU STAFF ONLY

CASE PULLED BY:

DATE:

(This form must be filled out completely by requesting worker)

Requestor _____ Date _____

Program _____ Time _____

Phone Number _____ Pickup Date _____

Client Name	Case ID	Year Closed

RECEIVED BY:
(DO NOT SIGN UNTIL YOU HAVE RECEIVED THE RECORD(S))

Signature

Date

GOVERNMENT OF THE DISTRICT OF COLUMBIA

Child and Family Services Agency



REFERENCE REQUEST – D.C. RECORDS CENTER			NOTE: Use a separate form for each request			
Section I – To Be Completed By Requesting Agency						
Record Group No.	Accession No.	Agency Box Number	Records Locations Number			
Description of Record(s) or information requested (include file number and title)						
BOX						
FOLDER						
Remarks						
Nature of Service						
<input type="checkbox"/> Furnished Copy of Records ONLY <input type="checkbox"/> Permanent Withdrawal <input type="checkbox"/> Temporary Loan of Records <input type="checkbox"/> Review <input type="checkbox"/> Other						
Name of Requester	Telephone No.	Date	Receipt of Records			
Name and Address			Requester please sign, date, and return form for file item(s) listed above,			
			Signature	Date		
Section II – For Use By Records Center						
<div style="display: flex; flex-direction: column; gap: 5px;"> <div> Records not in Center Custody</div> <div> Wrong Box Number – Please recheck</div> <div> Additional information required to identify records</div> <div> Missing (neither record(s), information nor charge card found in container)</div> <div> Records Destroyed</div> </div>			Remarks			
			Agency will pick-up			
			Date	Service	Time Required	Searcher's Initials

GOVERNMENT OF THE DISTRICT OF COLUMBIA

Child and Family Services Agency



RECORDS TRANSMITTAL AND RECEIPT Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.								Page 1		of Pages		
1. TO <i>(Complete the address for the records center serving your area as shown in 36 CFR 1228.150)</i> Federal Records Center					5. FROM <i>(Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)</i> <div style="text-align: center;"> Archivist Records Manager Office of Public Records 1300 Naylor Courts, N.W. Washington, DC 20001 </div>							
2. Agency Transfer Authorization		Transferring Agency Official <i>(Signature and Title)</i> Archivist Records Manager (202) 671-1111 Office of Public Records		Date								
3. Agency Contact		Transferring Agency Liaison Official <i>(Name, office & telephone no.)</i> Records Manager Central Filing Unit (202) 727-5423 Child and Family Services Agency										
4. Records Center Receipt		Records Received By <i>(Signature and Title)</i>		Date								
<i>Fold Line<</i>												
6. RECORDS DATA												
Accession Number			Completed By Records Center									
RG (a)	FY (b)	Number (c)	Volume <i>(cu.ft)</i> (d)	Agency Box Numbers (e)	Series Description (With Inclusive dates of records) (f)	Restriction (g)	Disposal Authority <i>(Schedule and item number)</i> (h)	Disposal Date (i)	Location (j)	Shelf Plan (k)	Cont. Type (l)	Auto Disp. (m)

NSN 7540-00-634-4093

135-107

 Standard Form 135 (Rev. 7-85)
 Prescribed by NARA

Attachment D: Records Transmittal and Receipt Form

GAP - Client Records Management Policy

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GOVERNMENT OF THE DISTRICT OF COLUMBIA

Child and Family Services Agency



Record Type	Description	Retain at CFSA	Retain at DCRC/FRC	Authorized Disposition	Item Number
Administrative issuances	Copies of Directives, Mayor's Orders, City Council Resolutions, Corporation Counsel opinions, etc., Organizational Orders, manuals of policies and procedures.	Review annually, Destroy when obsolete or superseded	N/A	Review annually, Destroy when obsolete or superseded	Records Comprehensive Schedule number 41, Section 1, Item 47
Adoption Case Records	Contains social security card, birth certificate, documents legally freeing child, petition, commitment order, adoption subsidy documentation, social history of family and child, medical/psychological/psychiatric/developmental evaluations, Title IV-E determination forms, preliminary and final court orders related to adoption proceedings including the Final Decree of Adoption. These files may only be opened and their contents divulged on receipt of a court authorization.	5 years after date of final decree	70 years	75 years. Destroy	Records Comprehensive Schedule number 41, Section 1, Item 62d
Adoption Subsidy	Contains adoption subsidy referral form, adoption petition, commitment order, Title-IV-E determination forms, assets statement, IEP, documents legally freeing the child, medical/psychological/psychiatric/developmental evaluations, AS application, Final Decree.	5 years after date of final decree	70 years	75 years. Destroy	Records Comprehensive Schedule number 41, Section 1, Item 62d
Adoptive Home Records	Contains detailed information about the makeup of the home, results of investigations of a prospective adoptive home and social history of prospective parents and related documents.	5 years	70 years	75 years. Destroy	Records Comprehensive Schedule number 41, Section 1, Item 62c
Day Care Records	Contains health forms, documentation related to family composition, employment, eligibility determination, children for whom day care is to be provided and other pertinent social data and authorization forms.	5 years	N/A	5 years. Destroy	Records Comprehensive Schedule number 41, Section 1, Item 69f
Eligibility (Title IV-E) Foster Care	Contains all court orders/reports, 30A and CAD forms, birth certificate, social security card, child support documents, ACEDS printout, Title IV-E determination/redetermination summary and all related correspondence.	5 years after case closure	20 years	25 years. Destroy	Suggested by Supervisory Eligibility Specialist
Eligibility (Title IV-E) Adoptions	Contains subsidy agreement, final decree, adoption petition, statement of need, medical/psychological/psychiatric/developmental evaluations and Title IV-E determination/redetermination summary and all related correspondence.	5 years after case closure	20 years	25 years. Destroy	Suggested by Supervisory Eligibility Specialist
Foster Home Records	Contains detailed information about the makeup of the home, its conformance and its use by agency, names and birthdates of children placed in the home and other related information and documents.	5 years	5 years	10 years. Destroy	Records Comprehensive Schedule number 41, Section 1, Item 66b

Record Type	Description	Retain at CFSA	Retain at DCRC/FRC	Authorized Disposition	Item Number
Guardianship Subsidy	Contains guardianship subsidy referral form, commitment order, IEP, medical/psychological/psychiatric/developmental evaluations, GS eligibility checklist, motion for permanent guardianship, guardianship decree, GS application and "godparent affidavit".	5 years after case closure	20 years	25 years. Destroy	
Interstate Compact on the Placement of Children (Adoption)	100A, 100B, social summary/court report, Court order, Title IV-E determination, adoption petition, final decree, psychological/psychiatric/developmental assessments, school report, medical report, home study and state police clearances.	5 years after case closure	70 years	75 years. Destroy	Records Comprehensive Schedule number 41, Section 1, Item 62d
Interstate Compact on the Placement of Children (Foster Care)	100A, 100B, social summary/court report, Court order, Title IV-E determination, psychological/psychiatric/developmental assessments, school report, medical report, home study and state police clearances.	5 years after case closure	N/A	5 years. Destroy	
Mailing/Investigation List	Lists of individuals or organizations that are to receive copies of newsletters, reports, invitations to events, and other issuances.	Destroy when obsolete or superseded	N/A	Destroy when obsolete or superseded	General Records Schedule 23, Items 3 and 4
Office Administration Files	Relate to office organization, staffing, procedures communications; the expenditure of funds, training, and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities.	2 years	N/A	2 years Destroy	General Records Schedule 23, Item 1
Out-of-Town Inquiries	Records of investigations, evaluations and home studies requested by other jurisdictions.	5 years	5 years	10 years. Destroy	Records Comprehension Schedule Number 41, Section 1, 80
Schedules of Daily Activities	Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of DC Employees.	5 years	N/A	5 years. Destroy	General Records Schedule 23, Item 2a
Volunteer Coordinator's Ledger	Record of donations, disbursements and related documents.	5 years	N/A	5 years. Destroy	Records Retention Schedule Number 41, Section 1, Item 83
Wards Case Records	Contains social security card, birth certificate, application for services, social history of family and child, Title IV-E determination forms, medical/psychological/psychiatric/developmental evaluations, commitment order, legal documentation.	5 years after case closure	70 years	75 years. Destroy	Records Comprehension Schedule Number 41, Section 1, item 64a



GOVERNMENT OF THE DISTRICT OF COLUMBIA
Child and Family Services Agency

**CENTRALIZED FILING UNIT
SPECIAL RECORD REQUEST FORM**

IT IS THE RESPONSIBILITY OF THE CENTRALIZED FILING UNIT TO EXHAUST EVERY EFFORT TO LOCATE THE REQUESTED RECORD. A THOROUGH SEARCH IS NOT POSSIBLE WITHOUT ALL OF THE AREAS BELOW BEING COMPLETED. THANK YOU IN ADVANCE FOR YOUR COOPERATION.

REQUESTOR INFORMATION:

NAME _____ TITLE _____

EMAIL ADDRESS _____

PROGRAM / DEPT _____ TELEPHONE NUMBER _____

TYPE OF REQUEST _____

(ie: Break Seal Adoption; FOIA; Records Subpoena)

DATE OF REQUEST _____ TIME OF REQUEST _____

CLIENT INFORMATION:

NAME OF CHILD DURING CARE _____

DATE OF BIRTH _____ SOCIAL SECURITY NUMBER _____

NAME OF BIRTH FATHER _____ DOB _____

NAME OF BIRTH MOTHER _____ DOB _____

YEAR CASE WAS CLOSED _____ DISPOSITION _____

(EXPLAIN) _____

PROVIDER / FOSTER PARENT / GROUP HOME OR AGENCY NAME:

(At time of closure) _____

TYPE OF CLOSURE? FOSTER CARE / WARD / ADOPTION _____

*IF ADOPTION, TYPE OF ADOPTION? TRADITIONAL ADOPTION / INDEPENDENT ADOPTION / FOREIGN ADOPTION _____